

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 1 of 11

APPLICATION SERIAL NO.:

10/630,473

ATTY DKT NO.:

38349-0103H

CONFIRM NO.:

9190

APPLICANTS:

Deem *et al.*

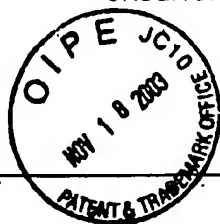
CUSTOMER NO.:

24961

FILING DATE:

July 29, 2003

GROUP ART UNIT:

~~3701~~ 3743

U.S. PATENT DOCUMENTS

† EX'R INITIAL	REF. #	PATENT NUMBER	DATE	NAME	U.S. CLASS/ SUBCLASS	FILING DATE (if appropriate)
A. J. H.	A	2003/0018327 (A1)	01/23/03	Truckai <i>et al.</i>	606/32	07/18/02
	B	2003/0018344 (A1)	01/23/03	Kaji <i>et al.</i>	606/130	07/19/02
	C	2003/0050648 (A1)	03/13/03	Alfemess <i>et al.</i>	606/108	09/11/01
	D	2003/0083671(A1)	05/01/03	Rimbaugh <i>et al.</i>	606/108	10/25/01
	E	2002/0138135 (A1)	09/26/02	Duerig <i>et al.</i>	623/1.24	03/21/01
	F	2002/0112729 (A1)	08/22/02	DeVore <i>et al.</i>	128/207.15	02/21/01
	G	2002/0111620 (A1)	08/15/02	Cooper <i>et al.</i>	606/41	09/04/01
	H	2002/0111619 (A1)	08/14/02	Keast <i>et al.</i>	606/41	09/04/01
	I	2002/0095209 (A1)	07/18/02	Zadno-Azizi <i>et al.</i>	623/1.24	02/08/02
	J	2002/0087153 (A1)	07/04/02	Roschak <i>et al.</i>	606/27	09/04/01
	K	2002/0077696 A1	06/20/02	Zadno-Azizi <i>et al.</i>	623/1.24	02/21/02
	L	2002/0077593 (A1)	06/20/02	Perkins <i>et al.</i>	604/96.01	02/11/02
	M	2002/0062120 (A1)	05/23/02	Perkins <i>et al.</i>	604/516	12/13/01
	N	2002/0026233(A1)	02/28/02	Shaknovich	623/1.24	03/20/01
	O	2002/0007831(A1)	1/24/02	Davenport <i>et al.</i>	128/200.24	07/18/01
	P	2001/0056274 (A1)	12/27/01	Perkins <i>et al.</i>	604/516	07/02/01
	Q	2001/0052344 (A1)	12/20/01	Doshi	128/207	06/14/01
	R	2001/0051799 (A1)	12/13/01	Ingenito	604/516	04/20/01
	S	2001/0041906 (A1)	11/15/01	Gonzalez	606/191	07/24/01
	T	2001/0037808 A1	11/08/01	Deem <i>et al.</i>	128/200.24	03/02/01
A. J. H.	U	2001/0025132 (A1)	09/27/01	Alfemess <i>et al.</i>	600/37	02/09/01
	V	2,981,254	04/25/61	Vanderbilt	128/350	11/12/57

EXAMINER'S SIGNATURE

DATE

CONSIDERED

2/2/06

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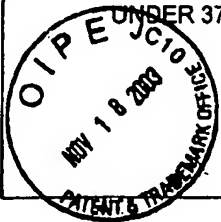
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 2 of 11



APPLICATION SERIAL NO.: 10/630,473
 ATTY DKT NO.: 38349-0103H
 CONFIRM NO.: 9190

APPLICANTS:
 Deem *et al.*

CUSTOMER NO.:
 24961

FILING DATE:
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GROUP ART UNIT:
 3761 3743

U.S. PATENT DOCUMENTS

W	3,657,744	04/25/72	Ersek	128/334	05/08/70
X	3,788,327	01/29/74	Donowitz <i>et al.</i>	128/350	03/30/71
Y	3,874,388	04/01/75	King <i>et al.</i>	128/334	02/12/73
Z	4,014,318	03/29/77	Dockum <i>et al.</i>	128/1	05/22/75
AA	4,086,665	05/02/78	Poirier	623/1	12/16/76
AB	4,212,463	07/15/80	Repinski <i>et al.</i>	273/418	02/17/78
AC	4,250,873	02/17/81	Bonnet	600/104	04/17/78
AD	4,302,854	12/01/81	Runge	3/1.7	06/04/80
AE	4,477,930	10/23/84	Totten <i>et al.</i>	3/1.5	09/28/82
AF	4,710,192	12/01/87	Liotta <i>et al.</i>	623/1	10/17/86
AG	4,732,152	03/22/88	Wallsten <i>et al.</i>	128/343	12/5/85
AH	4,759,758	07/26/88	Gabbay	623/2	12/07/84
AI	4,795,449	01/03/89	Schneider <i>et al.</i>	604/329	08/04/86
AJ	4,808,183	02/28/89	Panje	623/9	06/03/80
AK	4,819,664	04/11/89	Nazari	128/207.15	02/17/88
AL	4,830,003	05/16/89	Wolff <i>et al.</i>	128/343	06/17/88
AM	4,832,680	05/23/89	Haber <i>et al.</i>	600/31	07/03/86
AN	4,846,836	07/11/89	Reich	623/11	10/03/88
AO	4,850,999	07/25/89	Planck	623/1	05/26/81
AP	4,852,568	08/01/89	Kenney	128/325	12/28/87
AQ	4,877,025	10/31/89	Hanson	128/107.16	10/06/88
AR	4,934,999	06/19/90	Bader	600/29	07/28/88

EXAMINER'S SIGNATURE


Harold Lewis

DATE
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 2/2/06

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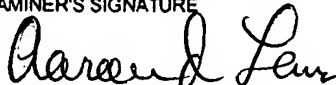
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR § 1.56, § 1.97, and § 1.98 FORM PTO-1449 	APPLICATION SERIAL NO.: 10/630,473	ATTY DKT NO.: 38349-0103H	CONFIRM NO.: 9190
	APPLICANTS: Deem <i>et al.</i>	CUSTOMER NO.: 24961	
	FILING DATE: July 29, 2003	GROUP ART UNIT: 3701 3743	

Sheet 3 of 11

U.S. PATENT DOCUMENTS						
AS	4,968,294	11/06/90	Salama	600/30	02/09/89	
AT	5,061,274	10/29/91	Kensey	606/213	12/04/89	
AU	5,116,360	05/26/92	Pinchuk <i>et al.</i>	623/1	12/27/90	
AV	5,116,564	05/26/92	Jansen <i>et al.</i>	264/255	10/10/89	
AW	5,123,919	06/23/92	Sauter <i>et al.</i>	623/2	06/23/92	
AX	5,151,105	09/29/92	Kwan-Gett	623/1	10/07/91	
AY	5,161,524	11-92	Evans	128/203.15		
AZ	5,306,234	04/26/94	Johnson	604/49	03/23/93	
BA	5,352,240	10/04/94	Ross	623/2	05/31/89	
BB	5,358,518	10/25/94	Camilli	623/2	01/25/93	
BC	5,366,478	11/22/94	Brinkerhoff <i>et al.</i>	660/213	07/27/93	
BD	5,382,261	01/17/95	Palmaz	606/158	09/01/92	
BE	5,392,775	02/28/95	Adkins <i>et al.</i>	128/207.16	03/22/94	
BF	5,409,019	04/25/95	Wilk	128/898	11/03/93	
BG	5,411,507	05/02/95	Heckele	606/108	01/05/94	
BH	5,411,552	05/02/95	Andersen <i>et al.</i>	623/2	06/14/94	
BI	5,413,599	05/09/95	Imachi <i>et al.</i>	623/2	12/13/93	
BJ	5,417,226	05/23/95	Juma	128/885	06/09/94	
BK	5,445,626	08/29/95	Gigante	604/349	06/03/94	
BL	5,486,154	01/23/96	Kelleher	600/104	06/08/93	
BM	5,499,995	03/19/96	Teirstein	606/192	05/25/94	
BN	5,500,014	03/19/96	Quijano <i>et al.</i>	623/2	05/09/96	

EXAMINER'S SIGNATURE 	DATE CONSIDERED 2/2/06
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR § 1.56, § 1.97, and § 1.98 FORM PTO-1449 Sheet 4 of 11	APPLICATION SERIAL NO.: 10/630,473	ATTY DKT NO.: 38349-0103H	CONFIRM NO.: 9190
	APPLICANTS: Deem <i>et al.</i>	CUSTOMER NO.: 24961	
	FILING DATE: July 29, 2003	GROUP ART UNIT: 3701 3743	

U.S. PATENT DOCUMENTS						
BO	5,562,608	10/08/96	Sekins <i>et al.</i>	604/20	04/13/95	
BP	5,645,565	07/08/97	Rudd <i>et al.</i>	606/213	06/13/93	
BQ	5,660,175	08/26/97	Dayal	128/207.15	08/21/95	
BR	5,662,713	09/02/97	Andersen <i>et al.</i>	623/12	09/14/95	
BS	5,683,451	11/04/97	Lenker <i>et al.</i>	623/1	06/07/95	
BT	5,697,968	12/16/97	Rogers <i>et al.</i>	623/1	08/10/95	
BU	5,755,770	5/26/98	Ravenscroft	623/1	01/31/95	
BV	5,800,339	09/01/98	Salama	600/29	05/02/97	
BW	5,840,081	11/24/98	Andersen <i>et al.</i>	623/2	02/19/97	
BX	5,851,232	12/22/98	Lois	623/1	3/13/97	
BY	5,855,587	01/05/99	Hyon <i>et al.</i>	606/188	08/22/96	
BZ	5,855,597	01/5/99	Jayaraman	623/1	05/07/97	
CA	5,855,601	01/05/99	Bessler <i>et al.</i>	623/2	06/21/96	
CB	5,944,738	08/31/99	Amplatz <i>et al.</i>	606/213	02/06/98	
CC	5,947,997	09/07/99	Pavcnik <i>et al.</i>	606/213	06/30/97	
CD	5,954,766	09/21/99	Zadno-Azizi <i>et al.</i>	623/2	09/16/97	
CE	5,957,949	09/28/99	Leonhardt <i>et al.</i>	606/194	05/01/97	
CF	5,976,174	11/02/99	Ruiz	606/213	12/15/97	
CG	5,984,965	11/16/99	Knapp <i>et al.</i>	623/12	08/28/97	
CH	6,007,575	12/28/99	Samuels	623/1	06/06/97	
CI	6,009,614	01/04/00	Morales	29/516	04/21/98	
CJ	6,020,380	02/01/00	Killian	514/570	11/25/98	

EXAMINER'S SIGNATURE <i>Baron J. Lem</i>	DATE CONSIDERED 2/2/06
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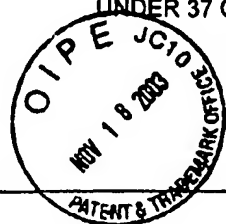
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 5 of 11



APPLICATION SERIAL NO.:

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APPLICANTS:

Deem *et al.*

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GROUP ART UNIT:

378T 3743

U.S. PATENT DOCUMENTS

202	CK	6,022,312	02/08/00	Chaussy <i>et al.</i>	600/29	02/20/98
	CL	6,027,525	02/22/00	Suh <i>et al.</i>	623/1	05/23/97
	CM	6,051,022	04/18/00	Cai <i>et al.</i>	623/2	12/30/98
	CN	6,068,635	05/30/00	Gianotti	606/108	06/04/98
	CO	6,068,638	05/30/00	Makower	606/159	10/27/98
	CP	6,077,291	06/20/00	Das	606/213	11/26/96
	CQ	6,083,255	07/04/00	Laufer <i>et al.</i>	607/96	12/19/97
	CR	6,123,663	09/26/00	Rebuffat	A61F2/00	12/23/98
	CS	6,135,729	10/24/00	Aber	417,420	07/09/99
	CT	6,135,991	10/24/00	Muni <i>et al.</i>	604/509	03/27/98
	CU	6,141,855	11/07/00	Morales	29/516	04/28/98
	CV	6,162,245	12/19/00	Jayaraman	623/1.15	01/05/99
	CW	6,168,614 (B1)	01/02/01	Andersen <i>et al.</i>	623/1	02/20/98
	CX	6,174,323 (B1)	01/16/01	Biggs <i>et al.</i>	606/232	06/05/98
	CY	6,183,520 (B1)	02/06/01	Pintauro <i>et al.</i>	623/23.64	11/10/98
	CZ	6,200,333 (B1)	03/13/01	Laufer	607/96	12/31/98
	DA	6,206,918 (B1)	03/27/01	Campbell <i>et al.</i>	623/2.32	05/12/99
	DB	6,234,996 (B1)	05/22/01	Bagaoisan <i>et al.</i>	604/97.01	06/23/99
	DC	6,240,615 (B1)	06/05/01	Kimes <i>et al.</i>	29/516	09/30/99
	DD	6,245,102 (B1)	06/12/01	Jayaraman	623/1.15	07/21/99
	DE	6,258,100	07/11/01	Alfemess <i>et al.</i>	606/108	10/10/00
	DF	6,270,527 (B1)	08/07/01	Campbell <i>et al.</i>	623/2.18	10/16/98
	DG	6,287,290 (B1)	09/11/01	Perkins <i>et al.</i>	604/516	07/02/99
202	DH	6,293,951 (B1)	09/25/01	Alfemess <i>et al.</i>	606/108	08/24/99

EXAMINER'S SIGNATURE

DATE
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2/2/04

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Sheet 6 of 11

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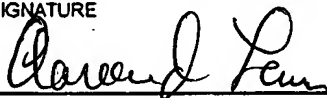
GROUP ART UNIT:

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U.S. PATENT DOCUMENTS

DI	6,302,893 (B1)	10/16/01	Limon <i>et al.</i>	606/108	08/19/00
DJ	6,312,407 (B1)	11/06/01	Zadno-Azizi <i>et al.</i>	604/103.03	02/19/98
DK	6,325,777 (B1)	12/04/01	Zadno-Azizi <i>et al.</i>	604/97.01	10/01/99
DL	6,325,778 (B1)	12/04/01	Zadno-Azizi <i>et al.</i>	604/99.02	01/01/99
DM	6,327,772 (B1)	12/11/01	Zadno-Azizi <i>et al.</i>	29/557	04/13/99
DN	6,328,689 (B1)	12/11/01	Gonzalez	600/37	03/23/00
DO	6,355,014 (B1)	03/12/02	Zadno-Azizi <i>et al.</i>	604/99.02	03/13/98
DP	6,398,775 (B1)	06/04/02	Perkins <i>et al.</i>	604/514	10/21/99
DQ	6,402,754 (B1)	06/11/02	Gonzalez	606/69	10/20/99
DR	6,416,554 (B1)	07/09/02	Alfemess <i>et al.</i>	623/23.65	08/24/99
DS	6,458,076	10/01/02	Pruitt	600/146	02/01/00
DT	6,485,407 (B2)	11/26/02	Alfemess <i>et al.</i>	600/37	02/09/01
DU	6,491,706 (B1)	12/10/02	Alfemess <i>et al.</i>	606/157	07/10/01
DV	6,493,589 (B1)	12/10/02	Medhkour <i>et al.</i>	607/99	08/10/00
DW	6,510,846 (B1)	01/28/03	O'Rourke	128/200.21	10/26/00
DX	6,527,761 (B1)	03/04/03	Soltesz <i>et al.</i>	604/516	10/27/00

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	APPLICANTS: Deem et al.	CUSTOMER NO.: 24961	
	FILING DATE: July 29, 2003	GROUP ART UNIT: 3761 3743	

FOREIGN PATENT DOCUMENTS					
† EX'R INITIAL	REF. #	Patent Number	Date	Country	TRANSLATION (YES/NO)
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	DZ	00/42950	07/27/00	PCT	
	EA	00/51510	09/08/00	PCT	
	EB	00/62699	10/26/00	PCT	
	EC	00/78386 (A1)	12/28/00	PCT	
	ED	00/78407 (A1)	12/28/00	PCT	
	EE	01/02042 (A1)	01/11/01	PCT	
	EF	01/03642 (A1)	01/18/01	PCT	
	EG	01/05334 (A1)	01/25/01	PCT	
	EH	01/10313 (A1)	02/15/01	PCT	
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	EJ	01/12104 (A1)	02/22/01	PCT	
	EK	01/13839 (A1)	03/01/01	PCT	
	EL	01/13908 (A2)	03/01/01	PCT	
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	EN	01/45590 (A2)	06/28/01	PCT	
A.D.	EO	01/49213 (A2)	07/12/01	PCT	
	EP	01/54585 (A1)	08/02/01	PCT	

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	APPLICANTS: Deem <i>et al.</i>	CUSTOMER NO.: 24961	
	FILING DATE: July 29, 2003	GROUP ART UNIT: 2701 3743	


FOREIGN PATENT DOCUMENTS					
EQ	01/54625 (A1)	08/02/01	PCT		
ER	01/54685 (A1)	08/02/01	PCT		
ES	01/66190 (A2)	09/13/01	PCT		
ET	01/74271 (A1)	10/11/01	PCT		
EU	01/87170 (A1)	11/22/01	PCT		
EV	01/89366 (A2)	11/29/01	PCT		
EW	01/95786 (A2)	12/20/01	PCT		
EX	02/05884 (A2)	1/24/02	PCT		
EY	02/22072 (A2)	03/21/02	PCT		
EZ	02/32333 (A1)	04/25/02	PCT		
FA	02/34322 (A2)	05/02/02	PCT		
FB	02/38038 (A2)	05/16/02	PCT		
FC	02/47575 (A2)	06/20/02	PCT		
FD	02/056794 (A2)	07/25/02	PCT		
FE	02/064045 (A1)	08/22/02	PCT		
FF	02/064190 (A2, A3)	08/22/02	PCT		
FG	02/069823 (A2, A3)	09/12/02	PCT		
FH	02/094087 (A1)	11/28/02	PCT		
FI	03/022124 (A2)	03/20/03	PCT		

EXAMINER'S SIGNATURE 	DATE CONSIDERED 2/2/06
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SD 634126 v1
11/17/03 3:52 PM (38349.0103G)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT 	APPLICATION SERIAL NO.: 10/630,473	ATTY DKT NO.: 38349-0103H	CONFIRM NO.: 9190
	APPLICANTS: Deem <i>et al.</i>	CUSTOMER NO.: 24961	
	FILING DATE: July 29, 2003	GROUP ART UNIT: 3764 3743	

FORM PTO-1449

Sheet 9 of 11


FOREIGN PATENT DOCUMENTS					
<i>ALL</i>	FJ	0621 015 (A1)	10/26/94	EP	
	FK	0621 015 (B1)	10/26/94	EP	
	FL	1,371,700	02/07/88	SU	X
	FM	1,593,651	09/23/90	SU	X
	FN	1 078 601 (A2)	02/28/01	EP	
	FO	1 151 729 (A1)	11/07/01	EP	
	FP	2140211	10/27/99	RU	X
	FQ	2324729	04/11/98	GB	
	FR	852321	07/08/81	SU	X
	FS	94/26175	11/24/94	PCT	
	FT	95/32018	11/30/95	PCT	
	FU	96/34582	11/07/96	PCT	X+
	FV	97/44085	11/27/97	PCT	
	FW	98/00840	01/08/98	PCT	
	FX	98/19633	05/14/98	PCT	
	FY	98/39047	08/11/98	PCT	
	FZ	98/44854 (A1)	10/15/98	PCT	
	GA	98/48706	11/5/98	PCT	
<i>ALL</i>	GB	99/01076	01/14/99	PCT	

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT  UNDER 37 CFR § 1.56, § 1.97, and § 1.98 FORM PTO-1449 Sheet 10 of 11	APPLICATION SERIAL NO.: 10/630,473	ATTY DKT NO.: 38349-0103H	CONFIRM NO.: 9190
	APPLICANTS: Deem <i>et al.</i>	CUSTOMER NO.: 24961	
	FILING DATE: July 29, 2003	GROUP ART UNIT: 3761 3743	

FOREIGN PATENT DOCUMENTS					
ALL	GC	99/13801	03/25/99	PCT	
	GD	99/26692	06/03/99	PCT	
	GE	99/32040	07/01/99	PCT	
	GF	99/42059	08/26/99	PCT	
	GG	99/42161	08/26/99	PCT	
ALL	GH	99/64109 (A1)	12/16/99	PCT	

x English Language Derwent is enclosed.

x+ English Language Equivalent is enclosed.


OTHER DOCUMENTS		
† EX'R INITIAL	REF. #	CITATION (Author, Article Title, Journal/Book Title, Date, Pertinent Pages, etc.)
ALL	GI	Al Jishi <i>et al.</i> , "Selective Bronchial Occlusion for Treatment of Bullous Interstitial Emphysema and Bronchopleural Fistula," <i>J. of Pediatric Surgery</i> , 29:1545-1547, 1994
	GJ	Article: "Autocath® 100 – Nonsurgical, Intraurethral Bladder Control Device for Incontinent and Retentive Women – Dr. Kulisz's Development"
	GK	Derwent citing Russian Patent No. RU 2140211, published 10/27/99, for: "Method of surgical treatment of patients with pathology of respiratory organs complicated with pulmonary hemorrhages"
	GL	Derwent citing Soviet Union Patent No. SU 852-321, published 07/08/81, for: "Treatment for acute pulmonary and pleural disease in children - by pneumo-abcessotomy simultaneous with occlusion of affected lung part"
	GM	Derwent# 007607249 WPI Acc. No: 1988-241181/198834 (citing Russian Application No. SU4026409, published February 21, 1988), Russian Patent No. SU 1371700
ALL	GN	Derwent# 008650867 WPI Acc. No: 1991-154896/199121 (citing Russian Application No. SU4280143, published July 07, 1987), Russian Patent No. SU 1593651

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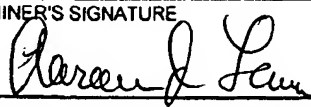
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT  37 CFR § 1.56, § 1.97, and § 1.98 FORM PTO-1449 Sheet 11 of 11	APPLICATION SERIAL NO.: 10/630,473	ATTY DKT NO.: 38349-0103H	CONFIRM NO.: 9190
	APPLICANTS: Deem <i>et al.</i>	CUSTOMER NO.: 24961	
	FILING DATE: July 29, 2003	GROUP ART UNIT: 3761 3743	

GO	Harris <i>et al.</i> , "The Experimental Production in Dogs of Emphysema with Associated Asthmatic Syndrome by Means of an Intratracheal Ball Valve", <i>J. Lab. Clin. Med.</i> , 9(iv):75-88, 1919
GP	Lewis <i>et al.</i> , "Pulmonary Interstitial Emphysema: Selective Bronchial Occlusion with a Swan-Ganz Catheter", <i>Archives of Disease in Childhood</i> , 63:313-315, 1988
GQ	Mathew <i>et al.</i> , "Selective bronchial obstruction for treatment of bullous interstitial emphysema." <i>J. of Ped.</i> , 96:475-477, 1980
GR	Okada <i>et al.</i> , "Emergent Bronchofiberoptic Bronchial Occlusion for Intractable Pneumothorax with Severe Emphysema", <i>The Jap. J. of Thor. And Cardio. Sur.</i> , 46:1078-1081, 1998
GS	Puhakka <i>et al.</i> , "Acute Bronchial Obstruction: An Experimental Rabbit Model Study", <i>Int. J. of Pediatric Otorhinolaryngology</i> , 18:107-118, 1989
GT	Snider <i>et al.</i> , <u>The Definition of Emphysema</u> : Report of the National Heart Lung and Blood Institute, Division of Lung Diseases Workshop, <i>Am. Rev. Respir. Dis.</i> , 132:182-185, 1985
GU	Woodring <i>et al.</i> , "Pneumothorax ex Vacuo", <i>CHEST</i> , 100:1102-1124, 1996

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